

Drawback Summary

This chapter provides records related to the drawback summary processing.

DELETE TRANSACTIONS..... DRW-2
 Procedure for deletion of a transaction.

LETTER OF INTENT OUTLINE DRW-4
 The outline to participate in the drawback claim summary module and drawback filing locations.

RECORD DESCRIPTIONS

Record Identifier D10 (Input)..... DRW-6
 This is a mandatory claim header data record.

Record Identifier D11 (Input)..... DRW-8
 This is an optional claim header data record.

Record Identifier D12 (Input)..... DRW-9
 This is an optional additional contract record used to report multiple contract numbers applicable to a claim.

Record Identifier D20 (Input)..... DRW-10
 This is a conditional input import tariff number trailer record.

Record Identifier D25 (Input)..... DRW-11
 This is a conditional input record that is required for exports on or after April 6, 1999.

Record Identifier D30 (Input)..... DRW-12
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Record Identifier D40 (Input)..... DRW-13
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Record Identifier D41 (Input)..... DRW-14
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Record Identifier D50 (Input)..... DRW-15
 This is a conditional NAFTA Canadian import entry/tariff record.

Record Identifier D90 (Input)..... DRW-16
 This is a mandatory claim trailer record. It is a final summary record.

Record Identifier D90 (Output)..... DRW-17
 This is a mandatory output record format that provides either acceptance notification or error or warning condition.

Drawback Summary

One or more drawback summary transactions may be submitted. Records required for a valid drawback summary are conditional on the claim type being submitted. If the claim is a type “41”, “42”, “43”, “44”, or “45”, the minimum records required for a valid transaction are one D10, one D30 or D40, and one D90. For claim type “46”, the minimum records required for a valid transaction are one D10 and one D90 (this allows for those claims where neither imports nor Certificate of Manufacture (CM's) are present, such as, domestic tax-paid alcohol).

It should be noted that at this time, a full paper claim is still required. The ABI data is a *summary* of the claim. Drawback summary data may be transmitted up to 30 days in advance of the estimated claim date (the date the legal paper claim is submitted).

ACS contains edits to verify the accuracy of import entry and certificate of manufacture data submitted. For drawback duties, the amount of duty shown as claimed for each import entry or CM on the D30 and D40 records respectively is the *net* 99% amount of claimable duty. Likewise, the total claimed duty in the D90 record is the *sum* of all the D30 and D40 records. For drawback tax, the individual import entry and CM amounts are the full 100% claimable amount, and the total claimed tax in the D90 records is the sum of the claimed tax amounts from all the D30 and D40 records.

With regard to NAFTA claims for exports to Canada, the NAFTA indicator in the D10 record should only be set to “1” *if* the claim is subject to the “lesser-of” rule. Otherwise, for exports to Canada, the indicator should be

space filled. If the indicator is set to “1”, at least one D50 record is required. Please note that the Canadian import duty to be reported is 100% of the duty paid on the exported items subject to this claim *in Canadian* dollars. The equivalent U.S. dollar amount is the Canadian dollar figure multiplied by the rate of exchange for Canada published by U.S. Customs for the Canadian “accounting date”.

The total Canadian dollar and U.S. equivalent in the D90 is a sum of all such amounts from the D50 record(s). ACS will compute the “lesser-of” amounts based on the total claimed duty versus the U.S. equivalent duty from the D90 record.

Delete Transactions

There is no “update” or “change” capability within the “JJ” drawback summary transactions. Changes can be made up until the point the claim is processed by Customs and formally accepted. To make a change, submit a *delete* transaction by placing a “D” in position 4 of the D10 input record. If the delete is successful, the claim data will be deleted and corrected claim data may be re-transmitted.

Input: Record Identifier D10 is a mandatory claim header data record. Record Identifier D11 is an optional claim header data record. Record Identifier D12 is an optional additional contract record. Record Identifier D20 is a conditional import tariff number trailer record. Record Identifier D25 is a conditional record that is required for exports. Record Identifier D30 is a conditional import entry data record. Record Identifier D40 is a conditional certificate of manufacture data record. Record Identifier D41 is an optional certificate of manufacture data record. Record Identifier

D50 is a conditional NAFTA Canadian import entry/tariff record. Record Identifier D90 is a mandatory claim trailer record.

The application identifier for Record Identifier B is JJ. For more information on Record Identifier B, refer to the Application Control chapter of this document.

Output: Record Identifier D90 is a mandatory output record format that provides either acceptance notification or error or warning condition.

The application identifier for Record Identifier B is JL. For more information on Record Identifier B, refer to the Application Control chapter of this document.

**Letter of Intent Outline - For Participation in the
Drawback Claim Summary Module**

- I. Statement of intent to participate in ABI.
- II. Company specifics
 - A. Company name
 - B. Location
 - C. Contact person's name, telephone and fax numbers
 - 1. Management
 - 2. Technical
 - a) Customs operational issues
 - b) Data processing (technical) issues, including communications
- III. Business profile
 - A. Type of business; customhouse broker, importer, exporter, manufacturer, etc. (or any combination)
 - B. Port where licensed, if a customhouse broker
 - C. Commodities involved in the drawback claims (general description)
 - D. Filer code (include any filer codes which will be transmitted in addition to that of the ABI participant)
- IV. Drawback claims
 - A. Drawback filing location
 - B. Estimated number of claims and anticipated dollar amount broken down by type of drawback
 - 1. Manufacturing
 - a) Direct Identification
 - b) Substitution
 - 2. Unused merchandise
 - a) Direct Identification
 - b) Substitution
 - 3. All other types
- V. System configuration
 - A. Software provider
 - 1. Providers company name
 - 2. Provider's contact person's name, telephone and fax numbers
 - B. Hardware specifications
- VI. Target dates for implementation at each location

Filing Locations

The letter of intent should be directed to the drawback filing location (or one of the drawback filing locations) which you plan to use. The letter should be presented on company letterhead.

The addresses for the eight drawback filing locations follow:

U.S. Customs Service
Drawback Office
10 Causeway St., Room 884
Boston, MA 02222-1056

U.S. Customs Service
Drawback & Records Branch
6 World Trade Center, Room 762
New York, NY 10048

U.S. Customs Service
Drawback Office
423 Canal Street, Suite 303
New Orleans, LA 70130

U.S. Customs Service
Drawback Office
610 S. Canal, Room 602
Chicago, IL 60607

U.S. Customs Service
Drawback Office
P.O. Box 025280, Room 114
Miami, FL 33102-5280

U.S. Customs Service
Drawback Office
2350 N. Sam Houston Pkwy. E.
Suite 1000
Houston, TX 77032

U.S. Customs Service
Drawback Office
300 South Ferry Street, Room 1098
Terminal Island, CA 90731

U.S. Customs Service
Drawback Office
555 Battery St., Room 107
San Francisco, CA 94126

To insure that your letter gets prompt attention, please forward a copy to Customs Headquarters:

U.S. Customs Service
Office of Information & Technology
7501 Boston Blvd., Room 108
Springfield, VA 22153

Record Identifier D10 (Input)

This is a mandatory claim header data record. If the claim type is 41 through 45, this record must be followed by at least one D30 or one D40 record, as well as a D90 record. If the claim type is 46, this record may be followed by any other records, but must have a D90 record.

<i>Record Identifier D10 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 10.	
Delete Code	1A	4	C	A code indicating the delete action. Space equals add claim; "D" equals delete the claim. You can't replace a drawback. Must be deleted and then re-added.	
Claim Number	11AN	5-15	M	Claim number (filer/entry number).	
Claim Type	2N	16-17	M	Must be one of the following claim types: 41 = Manufacturing, direct identification 42 = Unused merchandise, direct identification 43 = Rejected merchandise 44 = Manufacturing substitution 45 = Unused merchandise, substitution 46 = All other drawback types.	
Claim Port	4N	18-21	M	District/port where the claim is filed. Must be one of the following drawback sites: 0401 = Boston 1001 = New York 2002 = New Orleans 3901 = Chicago 5201 = Miami 5301 = Houston 2704 = Long Beach 2809 = San Francisco	
Estimated Claim Date	6N	22-27	M	Valid date (YYMMDD) format. Must be within 30 calendar days of the ABI transmission.	
Claimant Identification	12AN	28-39	M	EIN, SSN, or Customs-assigned import number of drawback claimant.	

Record Identifier D10 (Input)																							
Data Element	Length/ Class	Position	Status	Description	Note																		
Drawback Team	3AN	40-42	M	Must be one of the following: <table><tr><th><u>Team Code</u></th><th><u>Dist/Port</u></th></tr><tr><td>1DA</td><td>(0401)</td></tr><tr><td>2DB</td><td>(1001)</td></tr><tr><td>3DR</td><td>(3901)</td></tr><tr><td>4LA</td><td>(5201)</td></tr><tr><td>5LB</td><td>(2002)</td></tr><tr><td>6D0</td><td>(5301)</td></tr><tr><td>7D0</td><td>(2704)</td></tr><tr><td>7D7</td><td>(2809)</td></tr></table>	<u>Team Code</u>	<u>Dist/Port</u>	1DA	(0401)	2DB	(1001)	3DR	(3901)	4LA	(5201)	5LB	(2002)	6D0	(5301)	7D0	(2704)	7D7	(2809)	
<u>Team Code</u>	<u>Dist/Port</u>																						
1DA	(0401)																						
2DB	(1001)																						
3DR	(3901)																						
4LA	(5201)																						
5LB	(2002)																						
6D0	(5301)																						
7D0	(2704)																						
7D7	(2809)																						
Bond Type	1N	43	M	Must be 0, 8, or 9 (cannot be 0 if accelerated drawback or exporter's summary procedure is claimed).																			
Surety Code	3AN	44-46	C	Surety identification. If bond type = 0, space fill.																			
NAFTA Claim Indicator	1AN	47	C	Insert “1” to indicate a NAFTA claim; otherwise, space fill.																			
Government Claim Indicator	1AN	48	C	Insert “1” to indicate a Government claim; otherwise, space fill. (To be a Government claim, the claimant must be a U.S. Government agency.)																			
Accelerated Claim Indicator	1AN	49	C	Insert “Y” to indicate an accelerated drawback claim; otherwise, insert “N”.																			
Exporter Summary Procedure Indicator	1AN	50	C	Insert “1” to indicate that exporter summary procedure is used; otherwise, space fill.																			
Waiver of Prior Notice Indicator	1AN	51	C	Insert “1” to indicate waiver of prior notice is claimed; otherwise, space fill.																			
Pre-Inspection Indicator	1AN	52	C	Insert “1” if pre-inspection is indicated; otherwise, space fill.																			
Agent/Broker	12AN	53-64	O	Valid EIN, SSN, or Customs- assigned number of an agent/ broker. There must be a CF-4811, Special Address Notification, on file.																			
Broker Reference Number	9AN	65-73	O	Filer's file reference data. If not used, space fill.																			
License Port	4N	74-77	M	Any district/port within the region where the filer is actively permitted.																			
Filler	3AN	78-80	M	Space fill.																			

Record Identifier D11 (Input)

This is an optional claim header data record. If used, must follow the D10 Record. Please note that the first contract number, if multiples, is placed in the D11 record. Additional contract numbers, if any, are shown in the D12 records.

<i>Record Identifier D11 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 11.	
Contract Number	12AN	4-15	C	Valid drawback contract; must be in NN-NNNNN-NN format (including dashes) or space fill.	
Description	35AN	16-50	O	Filer supplied data; must be greater than 5 characters or space fill.	
Earliest Export Date	8N	51-58	O	This field is for future use. Space fill.	
Petroleum Claim Indicator	1AN	59	O	Insert "1" if petroleum or petroleum product, otherwise, space fill.	
Filler	21AN	60-80	M	Space fill.	

Record Identifier D12 (Input)

This is an optional additional contract record used to report multiple contract numbers applicable to a claim. This record is used only if there is more than one contract cited on a claim. There must be a D11 record preceding any D12 records, and that D11 must have a contract number included. There may be up to 99 occurrences of the D12 record following a D11 record. Note that the contract count in the D90 record is a count of D12 records only.

<i>Record Identifier D12 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 12.	
Contract Trailer Number	2N	4-5	M	Sequence number of contract trailer. The first must be "01", the second "02", etc.	
Contract Number	12AN	6-17	M	Valid drawback contract; must be in NN-NNNNN-NNN format (including dashes) or space fill.	
Filler	63AN	18-80	M	Space fill.	

Record Identifier D20 (Input)

This is a conditional trailer record for claim types 41-46. If any import entry on any D30 has an entry date equal to or greater than April 6, 1998, at least one D20 record will be required. The D20 record may be repeated up to 2,000 times with a total maximum number of 9,999 import tariff numbers.

<i>Record Identifier D20 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control ID	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 20.	
Trailer Sequence Number	4N	4-7	M	Sequence number of the given trailer record. The first record would be 0001, the second 0002, etc., up to 2000.	
First Tariff Number	10AN	8-17	M	The tariff number may be input at the 6, 8, or 10-digit level. It must be a valid tariff number at the level input.	
Additional Tariff Number	10AN	18-27	O	The tariff number may be input at the 6, 8, or 10-digit level. It must be a valid tariff number at the level input.	
Additional Tariff Number	10AN	28-37	O	The tariff number may be input at the 6, 8, or 10-digit level. It must be a valid tariff number at the level input.	
Additional Tariff Number	10AN	38-47	O	The tariff number may be input at the 6, 8, or 10-digit level. It must be a valid tariff number at the level input.	
Additional Tariff Number	10AN	48-57	O	The tariff number may be input at the 6, 8, or 10-digit level. It must be a valid tariff number at the level input.	
Filler	23AN	58-80	M	Space fill.	

Record Identifier D25 (Input)

This is a conditional trailer record that is required if any exports covered by the drawback claim occur on or after April 6, 1999. This record may be repeated up to 2000 times with a total maximum number of 9,999 Schedule B numbers.

<i>Record Identifier D25 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control ID	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 25.	
Trailer Sequence Number	4N	4-7	M	Sequence number of the given trailer record. The first record would be 0001, the second 0002, etc., up to 2000.	
First Schedule B Number	10AN	8-17	M	The schedule B number may be input at the 6, 8, or 10-digit level. It must be a valid schedule B number at the level input.	
Additional Schedule B Number	10AN	18-27	O	The schedule B number may be input at the 6, 8, or 10-digit level. It must be a valid schedule B number at the level input.	
Additional Schedule B Number	10AN	28-37	O	The schedule B number may be input at the 6, 8, or 10-digit level. It must be a valid schedule B number at the level input.	
Additional Schedule B Number	10AN	38-47	O	The schedule B number may be input at the 6, 8, or 10-digit level. It must be a valid schedule B number at the level input.	
Additional Schedule B Number	10AN	48-57	O	The schedule B number may be input at the 6, 8, or 10-digit level. It must be a valid schedule B number at the level input.	
Filler	23AN	58-80	M	Space fill.	

Record Identifier D30 (Input)

This is a conditional import entry data record. Up to 9,999 combined D30 and D40 records are allowed. For claim types 41, 42, 43, 44, and 45, there must be at least one D30 or D40 record.

<i>Record Identifier D30 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 30.	
Trailer Number	4N	4-7	M	Sequence number of import entry trailer. The first D30 record must be "0001", the second "0002", etc.	
Import Entry	11AN	8-18	M	Valid import entry summary number resident in ACS.	
Entry Port	4N	19-22	M	Valid district/port of the import entry.	
Entry Date	6N	23-28	M	Valid date in YYMMDD format. This is an estimated import entry date. It does not have to be an exact match.	
CM/CD Indicator	1AN	29	M	Insert "E" if neither a Certificate of Manufacture (CM) nor a Certificate of Delivery (CD) was issued against the importation; "M" if a CM was issued; or "D" if a CD was issued.	
Claim Duty	12N	30-41	M	The actual amount of duty drawback claimed from this import entry. This is the net 99% of the claimable amount. Two decimal places are implied.	
Claim Tax	12N	42-53	M	The actual amount of tax drawback claimed for this import entry. This is 100% of the claimable tax amount. Two decimal places are implied.	
Filler	27AN	54-80	M	Space fill.	

Record Identifier 40 (Input)

This is a conditional certificate of manufacturer data record. Up to 9,999 combined D30 and D40 records are allowed. For claim types 41, 42, 43, 44, and 45, there must be at least one D30 or D40 record.

<i>Record Identifier 40 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 40.	
Trailer Number	4N	4-7	M	Sequence number of the CM trailer. The first D40 must be "0001", the second, "0002", etc.	
Certificate of Manufacture Number	8AN	8-15	M	Must be a valid CM number resident in ACS; first 2 characters must be "CM".	
Certificate of Manufacture Port	4N	16-19	M	Must be a valid port for CM's: 0401, 1001, 2002, 3901, 5201, 5301, 2704, or 2809.	
Claim Duty	12N	20-31	M	The actual amount of duty drawback claimed from this CM. This is usually the net 99% of the claimable amount. Two decimal places are implied.	
Claim Tax	12N	32-43	M	The actual amount of tax drawback claimed for this CM. This is 100% of the claimable tax amount. Two decimal places are implied.	
Quantity	12N	44-55	O	If used, the quantity of manufactured product must be greater than 0.	
Unit of Measure	3AN	56-58	C	If quantity given, the unit of measure for the quantity must be at least 1 character.	
Filler	22AN	59-80	M	Space fill.	

Record Identifier D41 (Input)

This is an optional certificate of manufacture data record. One D41 record is allowed for each D40 record, up to a maximum of 9,999 occurrences. The D41 should immediately follow the D40.

<i>Record Identifier D41 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 41.	
Description	35AN	4-38	M	A description of filer supplied data; must be greater than 5 characters.	
Filler	42AN	39-80	M	Space fill.	

Record Identifier D50 (Input)

This is a conditional NAFTA Canadian import entry/tariff record. The D50 record is only for NAFTA claims to Canada where the “lesser-of” rule applies. If the D50 record is used, it should follow the D30, D40, and D41 records. Multiples of the D50 records should follow the previous D50 record combinations, with all records for the same Canadian Import Entry grouped together and followed by the records for the next Canadian Import Entry. Up to 99,999 D50 records are allowed, one for each Canadian import entry/tariff number combination. If the drawback entry type is “41” or “44”, and the NAFTA indicator in position 47 of the D10 record is “1”, there must be at least one D50 record.

<i>Record Identifier D50 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 50.	
Canadian Import Entry/Tariff Counter	5N	4-8	M	Sequence number of the Canadian import entry/tariff trailer. The first must be “00001”, the second “00002”, etc.	
Canadian Import Entry	14N	9-22	M	Valid Canadian import entry number.	
Canadian Import Entry Date	6N	23-28	M	Entry date into Canada in YYMMDD format.	
Canadian Tariff Number	10N	29-38	M	Valid Canadian tariff number for the item on the import. Will be at the 10-digit level.	
Canadian Duty Rate	12N	39-50	M	The Canadian rate of duty expressed as a numeric with four whole numbers and up to eight decimal places for the Canadian tariff number. Two decimal places are implied.	
Canadian Import Duty	12N	51-62	M	The Canadian duty in Canadian dollars paid on the above Canadian tariff item. Two decimal places are implied.	
Equivalent U.S. Dollar Amount of Canadian Duty	12N	63-74	M	U.S. dollar equivalent of the Canadian dollar duty amount. Two decimal places are implied. The Canadian currency should be converted to U.S. dollars using the rate of exchange for Canada as published by U.S. Customs for the entry date into Canada as supplied in position 23-28.	
Filler	6N	75-80	M	Space fill.	

Record Identifier D90 (Input)

This is a mandatory claim trailer record. It is a final summary record.

<i>Record Identifier D90 (Input)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	Must always equal 90.	
Total Claim Duty	12N	4-15	M	Total of all previous D30 and D40 duty amounts. If no duty is claimed, zero fill.	
Total Claim Tax	12N	16-27	M	Total of all previous D30 and D40 tax amounts. If no tax is claimed, zero fill.	
Import Trailer Count	4N	28-31	M	Total count of all D30 records. If no import trailer records, zero fill.	
Certificate of Manufacture Count	4N	32-35	M	Total count of all D40 records. If no certificate of manufacture records, zero fill.	
Contract Count	2N	36-37	M	Total count of all contracts on D12 records. If no D12 records, zero fill.	
Canadian Import Entry/Tariff Count	5N	38-42	M	Total count of all D50 records. If no D50 records, zero fill.	
Total Canadian Import Duty	12N	43-54	M	Total Canadian duty paid on all D50 records in Canadian dollars. Two decimal places are implied. If zero, zero fill.	
Total U.S. Dollar Equivalent of Canadian Duty	12N	55-66	M	Total U.S. dollar equivalent of the above total Canadian dollar duty amount. Sum of all U.S. amounts from all D50 records. Two decimal places are implied. If zero, zero fill.	
Import Tariff Number Record Trailer Count	4N	67-70	M	Total count of all D20 records. If no D20 Records, enter 0000 (zeros).	
Schedule B Number Record Trailer Count	4N	71-74	M	Total count of all D25 records. If no D25 records, enter 0000 (zeros).	
Filler	6AN	75-80	M	Space fill.	

Record Identifier D90 (Output)

This is a mandatory output record format that provides either acceptance notification or error or warning condition. For error-free claims, a single output record with a record type of “01” is returned noting acceptance. For an error or warning condition, the D10 input record is always returned, followed by the input record causing the error or warning. The D90 output record will immediately follow the record causing the condition. For warnings, a final D90 will be sent back indicating either acceptance or rejection of the data.

<i>Record Identifier D90 (Output)</i>					
Data Element	Length/ Class	Position	Status	Description	Note
Control Identifier	1A	1	M	Must always equal D.	
Record Type	2N	2-3	M	01 = Drawback claim accepted error free or deleted successfully. ER = Drawback claim rejected due to edit errors. See Appendix L for definitions of error messages.	
Claim Number	11AN	4-14	M	Claim number.	
Error Code	3AN	15-17	C	Spaces = drawback claim accepted error-free or deleted.	
Error or Final Message	34AN	18-51	M	ACS error code message (If record type = ER): “Drawback Claim Rejected” “Drawback Delete Rejected” Final message (If record type = 01): “Drawback Claim Accepted Error Free” “Drawback Deleted”	
Filler	29AN	52-80	M	Space fill.	

User Notes: